

**BROAD AGENCY ANNOUNCEMENT  
PROGRAM RESEARCH AND DEVELOPMENT  
ANNOUNCEMENT  
(BAA/PRDA)**

**T A B L E O F C O N T E N T S**

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# FOREWARD

The Broad Agency Announcement (BAA) and the Program Research and Development Announcement (PRDA) are very popular vehicles for procuring basic and applied research at Rome Laboratory. We feel it is necessary to provide industry, as well as educational and nonprofit organizations, with a guide highlighting the important aspects of the BAA/PRDA process.

This guide is designed for you. It has been prepared by a team of Government professionals at Rome Laboratory, Air Force Materiel Command (AFMC), Rome New York, and includes an explanation of key areas of the process. We hope that by better understanding the process, you will experience less frustration in white paper and proposal preparation. Likewise, better proposals will save time for our Government teams and enhance the review and selection process.

To aid you in determining the subject of your submissions, following is a definition of "interest" as used throughout this Guide:

*Rome Laboratory's interest covers all aspects of Command, Control, Communication, Computers, Intelligence and Surveillance (C4ISR). The vision attributes that Rome Lab is focusing on are Global Awareness, Dynamic Planning/Execution, and Seamless Communications and Connectivity.*

*These vision attributes can be further delineated as follows: Global Awareness covering consistent battle space, precision information and a global information base. Seamless Communication/Connectivity includes distributed information infrastructure, universal transaction services, assurance of service and global connection. Dynamic Planning/Execution covers virtual battlestaff, full spectrum dominance, execution of time critical missions and predictive planning and preemption.*

*Utilization of information technology from the commercial sector to support these vision elements is a prime function of Rome Laboratory. White papers relating to the C4ISR mission of the Lab, as well as the vision elements that apply information technology to Air Force deficiencies, are of interest to Rome Lab. Unique applications of technology, new technology that offers high potential payoff, and emerging technologies in the commercial sector that have application to the Air Force are of high interest.*

Please keep in mind that this is only a GUIDE. We have tried to thoroughly explain the process; however, regulatory guidance may require us to change our procedures. You are encouraged to talk to the technical and contracting points of contact listed in the announcement to obtain the latest information.

We share a common goal with industry -- to provide the best possible research and development for the Air Force.

We hope this guide will make it easier to achieve this goal by clarifying the overall BAA/PRDA process. If you have any suggestions to improve this guide, we would appreciate your comments. Please address them to *RL/PKPX, ATTN: Ms Joetta A. Bernhard, 26 Electronic Parkway, Rome New York, 13441-4514, email: bernhardj@rl.af.mil.*

RICHARD C. McNABB II Lt Col USAF  
Rome Laboratory  
Directorate of Contracting

## CHAPTER I

### BAA/PRDA PROCESS OVERVIEW

1. **Definition:** Broad Agency Announcements (BAAs) and Program Research and Development Announcements (PRDAs) are methods of soliciting proposals for Research and Development (R&D) using notices published in the Commerce Business Daily (CBD) and under “Business Opportunity” on the Rome Laboratory Home Page, “<http://www.rl.af.mil:8001/Lab/DO/BC/BAA/baa-main.html>”.

2. **Purpose:** Both BAAs and PRDAs will be considered when the Government desires unique/creative solutions and/or advances in knowledge, understanding, technology, the state of the art, etc., and is able to state its requirements in terms of areas of need or interest rather than specific solutions or outcomes. However, such hardware development, must be unrelated to a specific weapon system and not intended directly for the Air Force inventory. The BAA/PRDA process will only be considered when meaningful proposals with varying technical/scientific approaches can be reasonably anticipated.

a. BAAs: BAAs are used for research and exploratory development in broadly stated areas of scientific study and experimentation directed towards advancing the state of the art. BAAs will not be used for research efforts related to specific weapon systems or hardware development, except to demonstrate a concept.

b. PRDAs: PRDAs are intended to be used when the area of interest is more specialized but still has general application and is associated with the needs of a program or programs. It may be appropriate for exploratory research that has general application and is not system specific.

3. **Background:** When the Competition in Contracting Act (CICA) was passed in April 1985, the Department of Defense (DoD) initially restricted the use of BAAs to acquisitions funded in the 6.1 (basic research) budget category. The restriction was changed in 1986.

4. **Characteristics of the BAA and PRDA Process:**

- a. Neither process limits ideas and/or approaches for solution(s).
- b. The offeror prepares a Statement of Work (SOW) tailored to the proposed solution to the problem.
- c. Offerors can respond to all or part of the areas of interest announced in the CBD.
- d. Both processes permit open discussion with the Government technical focal point as described further in Paragraph 7.

## 5. **Difference Between BAAs and PRDAs**

BAAs are used when the area of interest is broad in scope and topical in nature. PRDAs are used when the area of interest is more specialized but still has general application and is associated with the needs of a program or programs.

6. **BAA/PRDA Process.** The process used at Rome Laboratory (RL) is as follows:

a. The first step involves an announcement in the CBD that requests interested offerors to submit White Papers. These White Papers are generally less than five pages and are intended to preclude unwarranted effort on the part of an offeror whose proposed work is not of interest to Rome Laboratory. The White Paper must contain as a minimum: **Title, Period of Performance, Cost, Company Address, Technical and Contracting Point of Contact, Phone, Fax & Email, Task Objective, Technical Summary and Proposed Deliveries.** RL evaluates White Papers against the criteria stated in the CBD announcement and determines which White Papers to pursue based on their applicability and consistency with the intent of the BAA/PRDA.

b. The selected offerors are then requested to submit a definitive technical and cost proposal for RL to evaluate. Offerors whose White Papers were not selected for full proposal submission may still submit a full proposal if they wish. A request to submit a definitive technical and cost proposal does not guarantee an award. Award is dependent on submission of a sound technical and cost proposal and is subject to successful negotiations as well as the availability of funds.

c. An alternative process is to request the technical and cost proposals in the CBD announcement. In this case, White Papers would not be requested

7. **Communication with the Government.** Laboratory technical personnel may continue to talk directly with prospective offerors on a BAA/PRDA announcement to resolve questions and provide general program information until a proposal is submitted. Discussions may not include:

⇒ discussion of other offeror's proposals or White Papers

⇒ rating information

Questions outside the scope of the technical focal point, such as contract terms and conditions, or projected award schedule, should be referred to the Contracting Officer (CO).

## CHAPTER 2

### ANNOUNCEMENT INFORMATION

#### 1. **General**

a. The BAA or PRDA published in the Commerce Business Daily (CBD) represents official notification to prospective offerors of a potential Air Force acquisition. The **CBD ANNOUNCEMENT CONSTITUTES THE ONLY SOLICITATION. PUBLISHED CBD ANNOUNCEMENTS** can be accessed via Rome Laboratory's World Wide Web Home page at: <http://www.rl.af.mil:8001/> under "Business Opportunities" or:

**<http://www.rl.af.mil:8001/Lab/DO/BC/bc-main.html>**

As a minimum, the following information is contained in the RL BAA/PRDA, CBD announcement:

(1) An individual identifying number, by fiscal year, with cognizant Contracting Branch Symbol (examples: PRDA #92-01-PKPX or BAA #92-02).

(2) Points of contact for both contracting and technical matters. Offerors are encouraged to make contact with the listed individuals for any assistance required.

(3) A description of the broadly stated areas of potential basic research (for BAAs) or a description of the scientific or engineering problems needing new and creative solutions (for PRDAs). A short summary of areas of program interest, expanded as appropriate, to include problems, objectives, and deliverable items (reports).

(4) Cut-off date, time for submission (if any) and number of copies of White Papers.

(5) The address at RL to which responses **must** be sent.

(6) A statement that firms submitting White Papers found to be consistent with the intent of the BAA/PRDA may be invited to submit a proposal.

(7) Criteria for selecting White Papers and proposals.

(8) Options are discouraged and unpriced options will not be considered for award.

(9) If an informational briefing is scheduled, details as to time, date, place, number of attendees permitted, clearances needed, etc.

(10) Advice to foreign-owned firms that their participation is subject to foreign disclosure review procedures and that they should immediately contact the contracting focal point for information if they contemplate responding.

(11) If export-controlled technical data is involved, a note advising that only firms on the Certified Contractor Access List (CCAL) will be allowed access to such data.

(12) The total dollar value or range of dollar values as well as anticipated period of performance may be stated in the announcement.

(13) A statement that multiple White Papers addressing different research areas, within the purview of the announcement, may be submitted by each offeror.

(14) Advice to offerors that only Contracting Officers are legally authorized to commit the Government

(15) Due dates for White Papers for each fiscal year may be included.

b. The announcement is printed in the US Government Procurement, Services A, Research and Development Section of the CBD. A sample of a BAA CBD announcement is included as Attachment 1. The areas discussed below are those that usually generate the most questions from offerors. The following paragraphs should clarify the information in the CBD and answer many potential questions.

(1) **Revisions**: Changes to the CBD announcement can only be made by publishing a revision (amendment) in a subsequent CBD issue. Amendments to BAA/PRDA announcements are used to: (a) extend due dates and (b) clarify requirements. They are not used to change or substantially modify the existing technical requirements significantly. A new BAA/PRDA announcement would be used and the old one cancelled if requirements change. Any revision will appear in the same section of the CBD as the original announcement. Republications are required on an annual basis on any open BAA/PRDA.

(2) **Due Dates**: The due date for PRDA White Papers will be specified in the CBD announcement. BAA announcements may or may not specify a due date(s). If a due date(s) is not specified, the BAA is open-ended, and White Papers may be submitted at any time until the announcement is rescinded, or closed. The due date can only be changed through a formal modification (i.e., publication of amendment) to the CBD announcement.

(3) **Multiple Awards**: BAAs and PRDAs generally result in multiple awards. When applicable, the CBD announcement may specify the level of effort or dollar range anticipated for each award. However, to allow for program flexibility, the Government may not provide a level of effort for each award. In this case, the Government may indicate the total value of all awards anticipated.



## CHAPTER 3

### WHITE PAPERS

1. **General.** The announcement published in the CBD will usually request submittal of a White Paper. The purpose of this White Paper is to preclude unwarranted effort on the part of an offeror whose work is not of interest to the Government.

2. **Format.** The White Paper must be formatted as follows:

#### Section A

(1) Title, Period of Performance, Estimated Cost of Task, Name of Company, Technical and Contracting Point of Contact, Telephone Number, Fax and Email.

(2) Add the following information for classified submissions: Classified level at which company is cleared, Contractor and Government Entity Code (CAGE), contractor address for forwarding classified material, (name, address, zip code), cognizant security office (name, address, zip code), offeror's security officer's name and telephone number.

#### Section B - Task Objective - Description of work to be performed

#### Section C - Technical Summary and Proposed Deliveries

3. **Contents.**

a. The White Paper should include the anticipated period of performance as well as a rough-order-of-magnitude (ROM) cost. The ROM cost consists of the total cost plus profit/fee, if any. It is a best guess of the anticipated cost of the effort. The ROM should be consistent with any dollar value or ranges, if any, specified in the announcement, as well as the level of work being proposed.

b. The White Paper does not include a cost proposal or any of the material, i.e., SF1411/SF1448, etc., which usually accompanies a cost proposal. The White Paper is generally less than five (5) pages in length. It must include a short technical description of the concepts and plans to accomplish the technical objectives. It also briefly describes the technologies to be pursued in the effort. It should also identify any IR&D work underway within the company which may have direct application. The White Paper should address only that specific part of the BAA/PRDA that the offeror intends to accomplish. A single White Paper that attempts to address the whole scope of the technology described in the CBD will most likely be rejected.

4. **Process.** White Papers must be submitted to the RL technical point of contact by the cut-off date, if any, specified in the CBD announcement. RL evaluates the White Paper against the stated technical criteria in the CBD announcement to determine consistency with the intent of the BAA/PRDA. Those offerors whose White Papers are of interest to RL may be invited to submit a formal proposal. Proposal instructions will accompany this invitation. Offerors whose White Papers are determined to not be of interest are not precluded from submitting a proposal and may request proposal instructions if they so desire. All offerors submitting White Papers will be contacted; either with a letter informing them that the effort proposed is not of interest to the Government, or with a request for a formal cost and technical proposal.

## CHAPTER 4

### PROPOSAL PREPARATION

#### 1. **General.**

a. The proposal is the only vehicle available to the offeror for receiving consideration for award. The proposal must stand on its own merit; only information provided in the proposal can be used in the evaluation process leading to an award. The proposal should be prepared simply and economically, providing straightforward, concise delineation of the technical solution necessary to perform the proposal. The technical proposal must be accompanied by a fully supported cost proposal, as cost and technical considerations are reviewed simultaneously.

b. Proposals containing data that is not to be disclosed to the public for any purpose or used by the Government except for evaluation purposes shall include the following sentences on the cover page:

“The proposal or quotation includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purposes other than to evaluate this proposal or quotation. If, however, a contract is awarded to this offeror or quoter as a result of - or in connection with - the submission of this data, the Government shall have the right to duplicate, use, disclose the data to the extent provided in the resulting award. This restriction does not limit the Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets marked “Proprietary” or that contain the legend prescribed by FAR 52.215-12.”

Each restricted data sheet should be marked either “Proprietary” or as follows per FAR 52.215-12:

***“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal or quotation.”***

**Do not put proprietary data or markings in the Statement of Work (SOW).**

c. To ensure all technical proposals receive proper consideration, the Government recommends the proposal format below, which should be followed. This format can most easily be incorporated as the proposal Table of Contents and serves as a final checklist as well.

## **2. *Proposal Contents/Checklist***

### ***Part I - Technical Proposal***

- i Cover Page
- ii Table of Content
- iii List of Illustrations/Tables
- iv Executive Summary
- 1.0 Technical Approach
  - 1.1 Technical Discussion
  - 1.2 Technical Program Summary
  - 1.3 Risk Analysis and Alternatives
  - 1.4 References
- 2.0 Special Technical Factors
  - 2.1 Capabilities and Relevant Experience
  - 2.2 Previous or Current Relevant Independent Research and Development (IR&D) Work
  - 2.3 Related Government Contracts
  - 2.4 Facilities/Resources
- 3.0 Schedule
  - 3.1 Time Line Chart by Task
- 4.0 Program Organization
  - 4.1 Organization Chart(s) with key personnel
  - 4.2 Management and Technical Team
    - 4.2.1 Prime Contractor Responsibilities
    - 4.2.2 Subcontractor(s) Responsibilities
    - 4.2.3 Consultant Responsibilities
  - 4.3 Resumes of Key Personnel
- 5.0 Appendix(es)

### ***PART II --- Offeror Statement of Work***

Do not put proprietary data or markings in the Statement of Work.

- 1.0 Objective
- 2.0 Scope
- 3.0 Background
- 4.0 Tasks/Technical Requirements

**NOTE:** PLEASE USE THE ABOVE DECIMAL NUMBERING SYSTEM FOR PROPOSAL PREPARATION.

### 3. ***Proposal Contents***

#### ***PART I -- Technical Proposal***

Format of the proposal shall be as follows:

a. Cover Page

The cover page should include the BAA/PRDA title and reference number, name and telephone number, fax and email for the principal points of contact (both technical and contractual), and the page should also contain the proprietary data disclosure statement, if applicable.

b. Table of Contents

It is highly recommended that the offeror follow the previously described table of contents and use it for a final quality-control checklist.

c. List of Illustrations/Tables

This list is a quick reference of charts, graphs, and other important information. A separate list of Tables is recommended.

d. ExecutiveSummary

The Executive Summary allows offerors to present, briefly and concisely, the important aspects of their proposals to key management personnel. The summary should present an organized progression of the work to be accomplished, without the technical details, so that the reader can grasp the core issues of the proposed program. The Executive Summary should rarely exceed two pages.

e. Technical Approach

In this section, the offeror should provide as much technical detail and analysis as is necessary or useful to support the technical approach they are proposing. One must clearly identify the technologies, (basic, applied research or exploratory development) forming the “new and creative” solution(s) proposed. It is not effective to address a variety of possible solutions to the technology problems.

(1) Technical Discussion: No technical approach is without its limitations or shortcomings. Every issue should be identified and compared with the successes/failures of previous approaches. A tradeoff analysis is a good way to make this comparison and should be supported by theory, simulation, modeling, experimental data, or other sound engineering and scientific practices. If the offeror has a “new and creative” solution to the problem(s), that solution should be developed and analyzed in this section. The preferred technical approach should be described in as much detail as is necessary or useful to establish confidence in the approach.

(2) Technical Program Summary: This section summarizes the above technical discussion in an orderly progression through the program, emphasizing the strong points of the proposed technical approach.

(3) Risk Analysis and Alternatives: Every technology has its limitations and shortcomings. The proposal evaluator(s) will formulate a risk assessment and it is in the best interest of the offerors to have their own understanding of the risk factors presented. Critical technologies should be identified along with their impact on the overall program as well as fallback positions that could still improve on existing approaches.

(4) References: Any good technology discussion must present the basis for, and reference, the findings cited in the literature.

f. Special Technical Factors

In this section, the offeror should describe any capabilities the offeror has that are uniquely supportive of the technology to be pursued. The following subparagraphs are offered as possible areas to be addressed.

(1) Capabilities and Relevant Experience

(2) Previous or Current Relevant IR&D Work and Points of Contact

(3) Related Government Contracts and Points of Contact

(4) Facilities/Resources

g. Schedule

The schedule represents the offeror's commitment to perform the program tasks in an orderly, timely manner.

(1) Time Line Chart by Task: Each major task identified in the SOW should appear as a separate line on the program schedule. Planned meetings, such as kick-off, presentations (including final presentation on the effort), Technical Interchange Meetings, etc., should be included in the Time Line. The Time Line should also indicate the anticipated meeting site.

h. Program Organization

In this paragraph, the offerors should present their Organization's ability to conduct difficult technical programs. Any pertinent or useful information may be included in this paragraph, but a minimum recommended response should address the following subparagraphs:

(1) Organization Chart(s) with Key Personnel: Include prime offeror and subcontractor organization charts.

(2) Management and Technical Team: This should specifically identify what tasks will be performed by each party and why each subofferor, if any, was selected to perform its task(s).

(a) Proposer Responsibilities

(b) SubContractor(s) Responsibilities

(c) Consultant(s) Responsibilities

(3) Resumes of Key Personnel: Include the resumes of the Key Personnel, be they offeror, subcontractor and/or consultant personnel.

i. Appendix(es): Appendices may include technical reports, published papers, and referenced material. A listing of these reports/papers, with short description of the subject matter, is usually adequate. **DO NOT PROVIDE COMMERCIAL PRODUCT ADVERTISING BROCHURES.**

## **PART II -- OFFEROR'S STATEMENT OF WORK (SOW)**

a. It is the intent of the Government to attach the offeror's SOW, as written, into the resulting award document. This will occur only if the offeror's SOW accurately describes the work to be performed, is enforceable, and is void of inconsistencies. If, in the Government's opinion, the offeror's SOW does not reflect these requirements, the Government will prepare a SOW using information available in the offeror's proposal; this process may delay the award. The SOW must be a separate and distinct part of the proposal. The proposed SOW must contain a summary description of the technical methodology as well as the task description, but not in so much detail as to make the SOW inflexible. **DO NOT INCLUDE ANY PROPRIETARY INFORMATION IN THE SOW.**

b. The following is offered as a recommended format for the SOW. Begin this section on a new page. Start your SOW at Paragraph 1.0. A sample SOW is included for reference as Attachment No. 2.

(1) 1.0 - Objective: This section is intended to give a brief overview of the specialty area and should describe why it is being pursued, and what you are trying to accomplish.

(2) 2.0 - Scope: This section includes a statement of what the SOW covers. This should include the technology area to be investigated, objectives/goals, and major milestones for the effort.

(3) 3.0 - Background: The offeror shall identify appropriate specifications, standard, and other documents that are applicable to the effort to be performed. This section includes any information, explanations, or constraints that are necessary in order to understand the requirements. It may include relationship to previous, current and future operations. It may also include techniques previously tried and found ineffective.

(4) 4.0 - Task/Technical Requirements:

(a) The detailed description of tasks which represent the work to be performed, are contractually binding. Thus, this portion of SOW should be developed in an orderly progression and in enough detail to establish the feasibility of accomplishing the overall program goals. The work effort should be segregated into major tasks and identified in separately numbered paragraphs according to the decimal system as described in Part II, 2.(1)-(4) above. Each numbered major task should delineate, by subtask, the work to be performed. The SOW must contain every task to be accomplished.



The tasks must be definite, realistic, and clearly stated. Use “shall” whenever the work statement expresses a provision that is binding. Use “should” or “may” whenever it is necessary to express a declaration of purpose. Use “will” in cases where no offeror requirement is involved; e.g., power will be supplied by the Government. Use active voice in describing work to be performed.

(b) If presentations/meetings are identified in your schedule, include the following paragraph in your SOW:

*“Conduct presentations/meetings at times and places specified in the award document.”*

(c) It is preferred that your proposed Statement of Work be submitted on a 3 1/2” disk using any of the following formats: Microsoft Word, Rich Text Format, Word Perfect, or ASCII. The MacIntosh or PC Word format is preferred. *It is still necessary, however, to submit a hard copy of the Statement of Work.*

#### **4. Guidelines for Cost Proposals**

a. Proposals under \$500,000: Cost information is required to be submitted so the Government can perform price analysis and cost realism analysis to determine price reasonableness. A Standard Form 1448 must be completed and submitted with the cost information. A blank SF 1448 will be attached to the request for formal proposal if the rough-order-of-magnitude (ROM) cost was under \$500,000. A SF 1448 is not required to be attached to the White Paper.

b. Proposals of \$500,000 or more: Cost or pricing data is required to be submitted so the Government can perform a cost analysis to determine price reasonableness. A Standard Form 1411 must be completed and submitted with the cost or pricing data. A blank SF1411 will be attached to the request for formal proposal if the ROM cost is \$500,000 or greater. A SF1411 is not required to be attached to the White Paper.

c. A Certificate of Current Cost or Pricing Data is required to be submitted by the offeror upon the conclusion of negotiations if the total amount is \$500,000 or more and none of the exceptions to the Truth In Negotiations Act (TINA) apply. The exceptions are: adequate price competition, catalog and market price, law and regulation and commercial item. This Guide anticipates no exceptions will apply due to the one-of-a-kind nature of research and development work. However, if the offeror believes an exception does apply, that may be discussed during negotiations.

d. Table of Contents and Price Proposal Summary: The Table of Contents and Price Proposal Summary, as shown in Attachment 3 must be used when preparing cost proposals. Instructions for completion of the Table of Contents follows:

(1) The Table of Contents must appear exactly as set forth on the attached sample. Do not omit any topics or elements. Additional topics may be added.

(2) All blanks must be filled in, either with the applicable page numbers, or "NA".

(3) Items 1, 2, 3, 4 and 6 are required for all proposals and must always show page numbers. The other items must have page numbers indicating where the applicable information is located whenever these costs are included in the total proposed amount.

e. Subcontractors: Subcontractors' proposals must be similarly structured. All subcontracted work must be properly identified as such. If a subcontractor elects to submit an abbreviated proposal, it is the offeror's responsibility to see that the subcontractor simultaneously submits a complete detailed SF1411/1448 directly to the Government's point of contact. The offeror must ensure that the subcontractor adheres to the guidance set forth herein. FAR 15.806 requires that the offeror provide an analysis of subcontractors' cost proposals. To that end, offeror's proposal must:

(1) Identify principal items/services to be subcontracted.

(2) Identify prospective subcontractors and the basis on which they were selected. If non-competitive, provide selected source justification.

(3) Identify the type of contractual business arrangement contemplated for the subcontract and provide a rationale for same.

(4) Identify the basis for the subcontract costs (e.g., firm quote or engineering estimate, etc).

(5) Provide an analysis of the proposed subcontract in accordance with FAR 15.805-2. Provide an analysis concerning the reasonableness, realism and completeness of each subcontractor's proposal. If the analysis is based on comparison with prior prices, identify the basis on which the prior prices were determined to be reasonable. The analysis should include, but not be limited to, an analysis of: materials, labor, travel, other direct costs and proposed profit rates.

e. Changes to Pricing Proposals: Changes to previously submitted proposals must include documentation indicating how a previously submitted proposal is impacted or affected.

(1) If changes to the original proposal are relatively insignificant and involve only minor changes to elements such as labor rates, overhead and General and Administrative (G&A) rates, bill of material changes, travel costs, and Other Direct Costs (ODC's), then a new SF1411/SF1448 is not needed. Minor changes can be accomplished through the use of change pages or slip pages accompanied by new cost summaries.

(2) A fully revised cost proposal and new SF1411/SF1448 should rarely be necessary. However, if changes to the original proposal are encountered which require significant changes to the proposed technical approach and there is little or no correlation between the original and revised proposal, a new SF1411/SF1448 and a new cost proposal would be required.

## CHAPTER 5

### PROPOSAL EVALUATION

1. **General.** Proposals are evaluated solely on the criteria published in the CBD. The proposal must stand on its own merit as submitted.

2. **Technical Rankings:**

a. The technical evaluation will rank proposals into three categories as defined and required by AFMC FAR Supplement 5335.016(d). The three categories are as follows:

(1) Category I: Category I proposals must be well-conceived, scientifically/technically sound, pertinent to program goals/objectives, and offered by a responsible offeror. Category I proposals are recommended for acceptance (subject to availability of funds) and normally will be displaced only by other Category I proposals.

(2) Category II: Category II proposals are scientifically or technically sound but may require further development. They can be recommended for acceptance, but are a lower priority than Category I. Proposals in this category are not always funded.

(3) Category III: Category III proposals are not recommended for award.

b. Under the BAA/PRDA method, awards are generally made based on the technical merit of the proposals and availability of funding. Occasionally, the AF may be interested in buying part of the proposal or part of a task. In this case, a partial award can be made.

3. Offerors whose proposal(s) are not recommended for award will be notified via letter.

## CHAPTER 6

### TECHNICAL AND COST NEGOTIATIONS

1. The Directorate of Contracting will determine the appropriate award vehicle depending on the work to be performed and so notify the offeror.
2. **Model Contract:** Once the proposal evaluation is completed and ranked, the offerors selected for negotiations are notified by letter by the Contracting Officer. If necessary, this letter may include further instructions. The letter may also include a model contract as well as a current set of Representations and Certifications (Section K of the Uniform Contracting Format (UCF)) which must be completed by the offeror. The model contract, provides the basis for negotiations on all contractual requirements, terms, and conditions. If the offeror takes exception to any requirements, these must be specifically identified in the reply to the contract specialist. The reply must also include the completed Representations and Certifications, unless these were submitted previously with the proposal, and any other information required by the Government.
3. **Revised or Updated Cost Proposal:** If necessary, at the same time an offeror is notified of their selection, they may be requested to submit either an updated or revised cost proposal (see Chapter 3 for a discussion on revised versus updated cost proposals), and any additional cost information or backup cost data.
4. **Technical Proposal Changes:** Normally, if any clarifications are needed by the Government technical evaluators, the offeror will be contacted before completion of the evaluation and receipt of the notification letter. However, a proposal may be selected for negotiations although additional technical data is still required. If this occurs, the Government negotiator will request any technical documentation needed.
5. **Buying Part versus All:** Normally an entire proposed effort is purchased; however, RL will sometimes be interested in acquiring part or parts of a proposal. This is one reason the Government requires offerors to write the SOW in the form of separate tasks. It facilitates evaluation and provides an easy way to select desired tasks. If RL decides to buy only part or parts of a proposal, the notification letter may request the offeror to revise the cost proposal to reflect only what will be purchased.

## CHAPTER 7

### POST AWARD

1. ***CBD Notice.*** A notice of each award made in connection with BAAs and PRDAs will be published in the CBD when the effort is awarded
2. ***Debriefing.*** Whether the proposal is selected for award or not, the offeror may submit a written request for a debriefing of the evaluation results to the Contracting Officer. The debriefing may be accomplished either at Rome Laboratory, Rome, New York, or by telephone/teleconference.
3. ***Proposal Retention.*** If a proposal is selected for award, the Government will retain several copies for reference purposes. All proposals not selected will be destroyed not later than one year after receipt.
4. ***Final Report.*** After award, all offerors who submitted a proposal or White Paper may submit a written request to the laboratory technical office (RL/XXX) to receive a copy of the final technical report resulting from the BAA or PRDA award(s), subject to national disclosure policy and regulations.

# REFERENCES

Rome Laboratory Instruction 70-17

AFMC FAR Supplement 5335.016

AFMC FAR Supplement 5335.90

FAR 35.106

FAR 52.215-12

FAR 15.8



# ACKNOWLEDGEMENT

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## **SAMPLE CBD NOTICE**

TITLE: INFORMATION WARFARE

SOL BAA 96-10-PKRZ DUE: N/A

POC Duane Allain, Program Manager, 315-330-7990; Joe Giordano, Technical Advisor, 351-330-7990; Joetta A. Bernhard, Contracting Officer, 315-330-2308. Rome Laboratory(RL) is soliciting White Papers for various studies, capabilities and experiments to increase the Air Force's understanding and capabilities in the area of INFORMATION WARFARE within the context of Global Reach/Global Power. US Forces require rapid access to a wide variety of information to perform their missions. The information required must be reliable and specific information tied to planned operations must be protected. We must preserve and ensure the integrity of our information from exploitation and corruption while denying, delaying, or confusing our potential adversary's ability to act in battle. Innovative basic research approaches are being sought in the INFORMATION WARFARE areas of, (1) Information Warfare planning functions, (2) improved concepts to deny the adversary's ability to decide and act in battle, (3) maintaining the integrity and confidence level of our information elements, (4) the ability to recover from information attacks, (5) automated methodologies to determine susceptibilities and vulnerabilities of information systems, (6) methods to secure Commercial-off-the-shelf applications, (7) capabilities to determine what information systems will be attacked. Concepts and capabilities are needed to support a wide variety of missions including worldwide joint missions. Priority will be given to those ideas which most significantly increase the confidentiality, availability and integrity of our information systems and which have the widest global applicability. In addition, consideration will be given to those concepts with an understanding of adversarial command and control structures as well as the variations in threat systems. The new concepts and capabilities should address the Counter Information needs of US and allied systems for information warfare. The full spectrum of military operations should be considered. THIS ANNOUNCEMENT CONSTITUTES THE ONLY SOLICITATION. DO NOT SUBMIT A FORMAL PROPOSAL AT THIS TIME. Offers are required to submit three (3) copies of a 3 - 5 page white paper with a cover letter indicating whether the offeror is a large, small, women-owned small, or small disadvantaged business, or Historically Black College, University, or Minority



Institution. The white paper will be formatted as follows: Section A: Title, Period of Performance, Cost of Task, Name of Company, Section B: Task Objective, and Section C: Technical Summary. All responses to this announcement must be addressed to ATTN: Dwayne Allain, Reference BAA-96-10-PKPX, RomeLaboratory/IWT, 525 Brooks Road, Rome NY 13441-4114. Also send one (1) copy of the cover letter only, by FIRST CLASS MAIL (DO NOT SEND CLASSIFIED), to ATTN.: Janis Norelli, Director of Small Business, Rome Laboratory/BC, 26 Electronic Parkway, Rome NY 13441-4514. Multiple white papers within the purview of this announcement may be submitted by each offeror. The purpose of the white paper is to preclude unwarranted effort on the part of an offeror whose proposed work is not of interest to the Government. Those white papers found to be consistent with the intent of this BAA may be invited to submit a technical and cost proposal. Such invitation does not assure that the submitting organization will be awarded a contract. Complete instructions for proposal preparation will be forwarded with the invitation for proposal submission. Evaluation of proposals will be performed using the following criteria: (1) The overall scientific and/or technical merits of the proposal, (2) innovativeness of proposed approach and/or techniques, (3) assessed improvement to Information Warfare capabilities, and (4) the reasonableness and realism of the proposed cost and fees. Also the offer's capability and capacity to achieve the objectives of this BAA will be used. No other evaluation criteria will be used in selecting proposals. The technical criteria will also be used to determine whether the White Papers submitted are consistent with the intent of this BAA and of interest to the Government. Proposals submitted will be evaluated as they are received. Individual proposal evaluations will be based on acceptability or unacceptability without regard to other proposals submitted under this BAA. Options are discouraged and unpriced options will not be considered for award. Principle funding of this BAA and the anticipated award of contracts will start approximately FY97. Individual awards will not normally exceed 12 to 24 months in duration, with dollar amounts normally ranging from \$200K to \$750K. Total funding for this BAA is \$12M. Foreign or foreign-owned offerors are advised that their participation is subject to a foreign disclosure review.

Foreign or foreign-owned offerors should immediately contact the contracting focal point, Rome Laboratory/PKPX, ATTN: Joetta A Bernhard, 26 Electronic Pky, Rome, NY 13441-4514, or phone at (315)330-2308, for information if they contemplate responding. The cost of preparing proposals in response to this announcement is not considered allowable direct charge to any resulting contract or any other contract, but may be an allowable expense to the normal bid and proposal indirect cost specified in FAR 31.205-18. The work to be performed may require a SECRET/NOFORN facility clearance and safeguarding capability, therefore, personnel identified for assignment to a classified effort must be cleared for access to SECRET/NOFORN information at time of award. Foreign participation at the prime contractor level is excluded. Data subject to export control constraints may be involved and only firms on the Certified Contractor Access List (CCAL) will be allowed access to such data. An ombudsman has been appointed to hear significant concerns from offerors or potential offerors during the proposal development phase of this acquisition. Routine questions, such as clarifications, are not considered to be "significant concerns" and should be communicated directly to the Contracting Officer, Joetta A. Bernhard, (315) 330-2308. The purpose of the ombudsman is not to diminish the authority of the Contracting Officer or Program Manager, but to communicate contractor concerns, issues, disagreements, and recommendations to the appropriate Government personnel. The Ombudsman for this acquisition is Vincent Palmiero, Chief, Policy and Management Division, at (315) 330-7746. When requested, the Ombudsman will maintain strict confidentiality as to the source of the concern. The Ombudsman does not participate in the evaluation of proposals or in the source selection process. To receive a copy of the Rome Laboratory 'PRDA and BAA: A Guide for Industry,' March 1994 (Rev), write to Rome Laboratory/PKR, ATTN: Lucille Argenzia, 26 Electronic Parkway, Rome, NY 13441-4514 or the guide may be accessed electronically at <http://www.rl.af.mil:8001/Lab/PK/pk-main.html>. All responsible organizations may submit a white paper which shall be considered. This BAA is open and effective until canceled. White papers for FY97 should be submitted by 1 Oct 96, for FY98, 1 Jul 97, and for FY99, 1 Jul 98. White papers submitted after those dates will also be considered but funding maybe limited. Proposers are warned that only Contracting Officers are legally authorized to commit the Government. ROME LABORATORY, 26 ELECTRONIC Parkway, Rome NY 13441-4514.

## **SAMPLE STATEMENT OF WORK**

### **1.0 OBJECTIVE:**

1.1 The objective of this effort is to investigate: (a) techniques for generating code for High Performance Computers (HPCs); (b) technology that connect transformed variants of programs, crucial to debugging and performance analysis; and (c) exploitation of HPCs by software environments.

### **2.0 SCOPE:**

2.1 The scope of this effort is to develop technology for building integrated computational environments for high performance systems and distributing a set of advanced computational software tools based on this technology that demonstrates the ability to achieve improved performance on current HPC computers.

### **3.0 BACKGROUND:**

3.1 High performance computing and computer communications networks are increasingly important to scientific advancement, economic computation, and national security. The technology is reaching the point of having a transforming effect on our society, industries, national defense, and educational institutions. The goal of the High Performance Computer and Communication (HPCC) program is to accelerate significantly the commercial availability and utilization of the next generation of high performance computers and software.

3.1 The key is by aggressively pursuing research in parallel compilers, object parallel computing, and intelligent performance optimization to deliver revolutionary advances in computational software tools. An ideal computational software environment will ultimately depend on a pervasive understanding of the relationship between parallel programming methodology, parallel compiler transformations, parallel object implementation, and system performance characteristics.

### **4.0 TASKS/TECHNICAL REQUIREMENTS:**

4.1 The contractor shall accomplish the following:

4.1.1 Design and implement a Code Generator (CG) for a high performance computer. The CG shall include the design of initial data structures.

4.1.2 Develop an execution analysis infrastructure to debug and study the performance of compiled programs without having to understand the transformations caused upon the program by the compiler, which includes:

4.1.2.1 Implementation of connections between existing front-ends and intermediate representation.

4.1.2.2 Implementation of connections from serial profile data to intermediate representation.

4.1.3 Develop technology to utilize the power of HPC on the computational tasks to develop a general HPC design environment which includes:

4.1.3.1 Tools for serial machines to be automatically scheduled on nodes of an HPC;

4.1.3.2 Interfaces for automatic scheduling of tools that are specifically designed to be executed on HPCs; and

4.1.3.3 Integrating the CG from paragraph 4.1.1.

4.1.4 Identify HPC community members with relevant applications to experiment with the ALPHA version of the CG from paragraph 4.1.1 and the general HPC design environment from paragraph 4.1.3.

4.1.5 Reporting.

4.1.5.1 Continually determine the status of the effort and report progress toward accomplishment of contract requirements. (See CDRL, A001)\*

4.1.5.2 Continually determine the status of funding required for contract performance. (See CDRL, A002)\*

4.1.5.3 Document all technical work accomplished and information gained during the performance of this acquisition. This shall include all pertinent observations, nature of problems, positive as well as negative results, and design criteria established, where applicable; also, procedures followed, processes developed, "Lesson Learned", etc. The details of all technical work shall be documented to permit full understanding of the techniques and procedures used in evolving technology or processes developed. Separate design, engineering, or process specifications delivered during this acquisition shall be cross-referenced to permit a full understanding of the total acquisition. (See CDRL, A003)\*

\*(See CDRL, A001) - indicates an R&D Status Report, due either monthly or quarterly.

\*(See CDRL, A002) - indicates a Funds Status Report, due either monthly or quarterly.

\*(See CDRL, A003) - indicates Final Technical Report due at the end of the contract term

## **COST PROPOSAL TABLE OF CONTENTS**

PAGE NO.	ITEM	PAGE NO
1.	Standard Form 1411 for total proposal.	
2.	Summary by cost element and profit for total proposal.	
3.	Labor summary for total proposal by categories, rates, and hours. List all key personnel by name as well as the number of hours each will dedicate to the project.	
4.	Explanation of how labor rates are computed including base rates (actuals) and escalation, if any.	
5.	Identification of indirect rates by fiscal year, explanation of how established and base to which they apply.	
6.	Bill of Materials detailing items by type, quantity, unit price, total amount and source of estimate. Provide vendor written quotes.	
7.	Summary of all travel, by destination, purpose, number of people days, air fare, per diem, car rental, etc.	
8.	Consultants by name, rate and number of days or hours. Furnish copy of consulting agreement, and identify prior agreement(s) under which the consultant commanded proposed rate, as well as the consultant's resume.	
9.	Computer use by type, rate and quantity, if charged direct.	
10.	Other direct costs by type, amount, cost per unit and purpose (specifically identify any costs for printing or publication).	
11.	DD Forms 1861 (if proposing facilities capital cost of money).	
12.	Subcontractor's proposal, with prime offeror's price/cost analysis of subcontractor's proposal. If subcontract was not completed, include justification.	
13.	Forecast of monthly and cumulative dollar commitments for the proposed contract period.	